

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No.	10/683,542
Filing Date	October 10, 2003
First Named Inventor	Carl M. Ellison
Art Unit	2186
Examiner Name	Peikari, Behzad
Attorney Docket Number	42P9654C

Total Number of Pages in This Submission 8

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div>Copies of references cited</div>
Remarks		

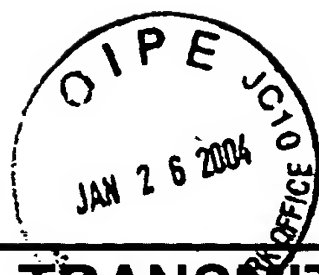
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Eric T. King, Reg. No. 44,188 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	January 23, 2004

CERTIFICATE OF MAILING/TRANSMISSION

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Typed or printed name	Nicole Erquiaga		
Signature		Date	January 23, 2004



FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)
0.00

Complete if Known

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METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account

Deposit Account Number: 02-2666
Deposit Account Name: Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Credit any overpayments
☐ Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
18	20*	0	18.00
2	3*	0	86.00
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple Dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)
0.00

*or number previously paid, if greater, For Reissues, see below

FEE CALCULATION (continued)

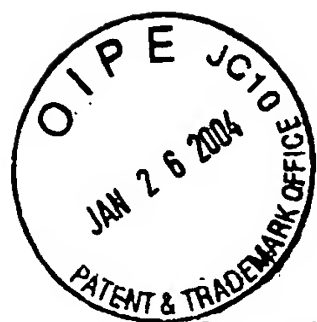
3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	1,210	2255	605	Extension for reply within fifth month	
1404	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	1809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					
* Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					(\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Eric T. King	Registration No. (Attorney/Agent)	44,188	Telephone	(714) 557-3800
Signature		Date	01/23/04		



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 10/683,542

Filed: October 10, 2003

For: **CONTROLLING ACCESS TO
MULTIPLE MEMORY ZONES IN AN
ISOLATED EXECUTION
ENVIRONMENT**

Art Group: 2186

Examiner: Peikari, Behzad

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Some or all of the references listed on the enclosed PTO/SB/08 were previously identified in the parent application (Application No. 09/618,489, filed July 18, 2000) and copies of the references were furnished at that time. Accordingly, per 37 CFR §1.98(d)(1) additional copies of those references are not submitted herewith.

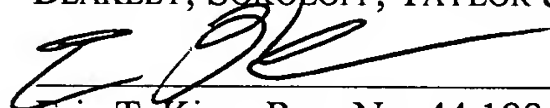
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Applicant has concurrently submitted an electronic Information Disclosure Statement (IDS) for the above-referenced patent application. In the concurrently filed electronic IDS submission, it was requested that any requisite fees be debited from Deposit Account 02-2666. Applicant respectfully requests that only one fee be debited for these concurrently filed IDS submissions if such fees are required.

Respectfully submitted,

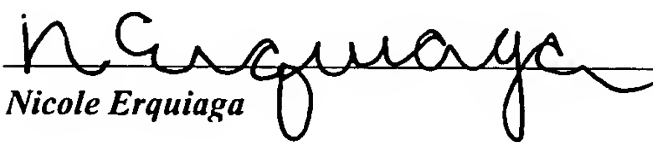
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: January 23, 2004


Eric T. King, Reg. No. 44,188

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01-23-04

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Applicati n Number	10/683542
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First Named Invent r	Ellison, Carl
Gr up Art Unit	2186
Examiner Name	Peikari, Behzad

Attorney Docket No: 42P09654C

Sheet 1 of 3

US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
	✓ DE-4217444	12/03/1992	Toyohisa, Imada , et al.			
	✓ EP-473913	03/11/1992	Farrell, Joel A.			
	EP-0600112	06/08/1994	Wimmer, Manfred D.			
	EP-0930567	07/21/1999	Brewer, Jason M.			
	EP-1030237	08/23/2000	Proudlar, John , et al.			
	EP-1146715	10/17/2001	Wang, Xin , et al.			
	✓ JP-2000076139	03/14/2000	Tanno, Masaaki , et al.			
	WO-0062232	10/19/2000	Headrick, Samuel P., et al.			
	WO-0127723	04/19/2001	Vamvakas, Athanasia , et al.			
	WO-0127821	04/19/2001	Chen, Liquan , et al.			
	✓ WO-0175564	10/11/2002	Herbert, Howard C., et al.			
	WO-0175565	10/11/2001	Ellison, Carl M.			
	WO-0175595	10/11/2001	Ellison, Carl M., et al.			
	✓ WO-02086684	10/31/2002	Proudlar, Graeme J.			
	✓ WO-0217555	02/28/2002	Ford, Warwick			
	WO-9729567	08/14/1997	Gressel, Carmi , et al.			
	WO-9834365	08/06/1998	Devanbu, Premkumar T., et al.			
	WO-9844402	10/08/1998	Bramhill, Ian D., et al.			
	WO-9905600	02/04/1999	Garst, Blaine , et al.			
	WO-9909482	01/15/2002	Bausch, Jean			
	WO-9957863	11/11/1999	Hayes Jr., Kent F., et al.			

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-Issue number(s), publisher, city and/or country where published.	T ²
		BERG, CLIFF , "How Do I Create a Signed Applet?", <u>Dr. Dobb's Journal</u> , (08/1997), 1-9	
		✓ BRANDS, STEFAN , "Restrictive Blinding of Secret-Key Certificates", <u>SPRINGER-VERLAG XP002201306</u> , (1995), Chapter 3	
		✓ CHIEN, ANDREW A., et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor", <u>7th Annual IEEE Symposium, FCCM '99 Proceedings, XP010359180, ISBN 0-7695-0375-6, Los Alamitos, CA, (4/21/1999), 209-221</u>	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

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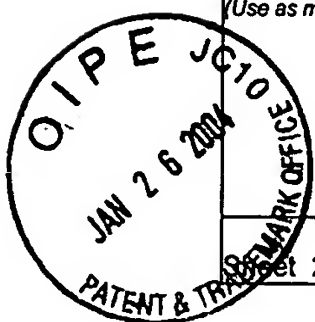
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Sheet 2 of 3

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		✓ COMPAQ COMPUTER CORPORATION, et al., "Trusted Computing Platform Alliance (TCPA) Main Specification Version 1.1a", (12/2001), 1-321	
		✓ DAVIDA, GEORGE I., et al., "Defending Systems Against Viruses through Cryptographic Authentication", <u>Proceedings of the Symposium on Security and Privacy</u> , IEEE Comp. Soc. Press, ISBN 0-8186-1939-2, (May 1989),	
		GOLDBERG, ROBERT P., "Survey of Virtual Machine Research", <u>COMPUTER Magazine</u> , (06/1974), 34-35	
		GONG, LI, et al., "Going Behind the Sandbox: An Overview of the New Security Architecture in the Java Development Kit 1.2", <u>Proceedings of the USENIX Symposium on Internet Technologies and Systems</u> , Monterey, CA, (12/1997),	
		GUM, P. H., "System/370 Extended Architecture: Facilities for Virtual Machines", <u>IBM J. Research Development</u> , Vol 27, Number 6, (11/1983), 530-544	
		HEINRICH, JOE, "MIPS R4000 Microprocessor User's Manual, Second Edition", Chapter 4 "Memory Management", (6/11/1993), 61-97	
		✓ IBM, "Information Display Technique for a Terminate Stay Resident Program IBM Technical Disclosure Bulletin", <u>TDB-ACC-No. NA9112156</u> , Vol. 34, Issue 7A, (12/1/1991), 156-158	
		INTEL, "Intel386 DX Microprocessor 32-Bit CMOS Microprocessor With Integrated Memory Management", (1995), 5-56	
		✓ KARGER, PAUL A., et al., "A VMM Security Kernal for the VAX Architecture", <u>Proceedings of the Symposium on Research in Security and Privacy</u> , XP010020182, ISBN 0-8186-2060-9, Boxborough, MA, (5/7/1990), 2-19	
		✓ KASHIWAGI, KAZUHIKO, et al., "Design and Implementation of Dynamically Reconstructing System Software", <u>Software Engineering Conference</u> , Proceedings 1996 Asia-Pacific Seoul, South Korea 4-7 Dec. 1996, Los Alamitos, CA USA, IEEE Comput. Soc, US, ISBN 0-8186-7638-8, (1996),	
		LAWTON, KEVIN, et al., "Running Multiple Operating Systems Concurrently on an IA32 PC Using Virtualization Techniques", http://www.plex86.org/research/paper.txt , (11/29/1999), 1-31	
		✓ LUKE, JAHN, et al., "Replacement Strategy for Aging Avionics Computers", <u>IEEE AES Systems Magazine</u> , XP002190614, (March 1999),	
		✓ MENEZES, OORSCHOT, "Handbook of Applied Cryptography", <u>CRC Press LLC, USA</u> XP002201307, (1997), 475	
		MOTOROLA, "M68040 User's Manual", (1993), 1-1 to 8-32	
		✓ RICHT, STEFAN, et al., "In-Circuit-Emulator Wird Echtzeittauglich", <u>Elektronik</u> , Franzis Verlag GMBH, Munchen, DE, Vol. 40, No. 16, XP000259620, (100-103), 8-6-1991	
		✓ ROBIN, JOHN S., et al., "Analysis of the Pentium's Ability to Support a Secure Virtual Machine Monitor", <u>Proceedings of the 9th USENIX Security Symposium</u> , XP002247347, Denver, Colorado, (8/14/00), 1-17	

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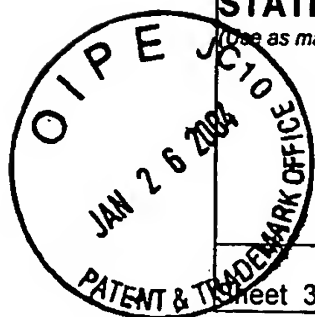
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Sheet 3 of 3

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

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		ROSENBLUM, M. , "Virtual Platform: A Virtual Machine Monitor for Commodity PC", Proceedings of the 11th Hotchips Conference, (8/17/1999), 185-196	
		SAEZ, SERGIO , et al., "A Hardware Scheduler for Complex Real-Time Systems", Proceedings of the IEEE International Symposium on Industrial Electronics, XP002190615, (July 1999), 43-48	
		SHERWOOD, TIMOTHY , et al., "Patchable Instruction ROM Architecture", Department of Computer Science and Engineering, University of California, San Diego, La Jolla, CA, (Nov. 2001),	

EXAMINER**DATE CONSIDERED**

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